



DEPARTMENT OF THE ARMY  
HEADQUARTERS, U.S. ARMY MATERIEL COMMAND  
5001 EISENHOWER AVENUE, ALEXANDRIA, VA 22333 - 0001

23 FEB 1999

REPLY TO  
ATTENTION OF

AMCPE-CE

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: HQDA Implementing Guidance to the Total Army  
Performance Evaluation System Changes

1. Headquarters, Department of the Army (HQDA) has prepared implementing guidance (enclosed) to Change 1, AR 690-400, Chapter 4302, Total Army Performance Evaluation System (TAPES). Change 1 became effective on 16 Nov 98 and may be downloaded at <http://www/cpol.army.mil>.
2. Army's goal is to implement these changes as soon as possible. However, implementation for bargaining unit employees cannot begin until activities have completed all statutory labor relations obligations which affect bargaining unit employees' conditions of employment. Implementation for non-bargaining unit employees may begin immediately.
3. Major changes are as follows:
  - a. The revised rating formulas for the Senior System increase the rating level for Success Level 1 (SL1) to 75% and for Success Level 2 (SL2) from 25% to 74%; these are nonnegotiable, reserved management rights and must not be a part of the bargaining process. This also applies to the revised rating formulas for the Base System.
  - b. The Senior Rater Profile has been eliminated.
  - c. Headquarters, Department of the Army has delegated the authority to MACOMs to retain or eliminate Senior Raters, except for employees who are issued an Unsuccessful performance rating. Major Commands may, in turn, further delegate this decision to local Commanders and Directors. However, for the sake of uniformity, AMC Command-wide will remain status quo by retaining Senior Raters throughout all rating processes for, both, the Senior and Base Systems.
4. A major review of TAPES is already in progress at HQDA. Therefore, the TAPES Pamphlet will not be revised to coincide

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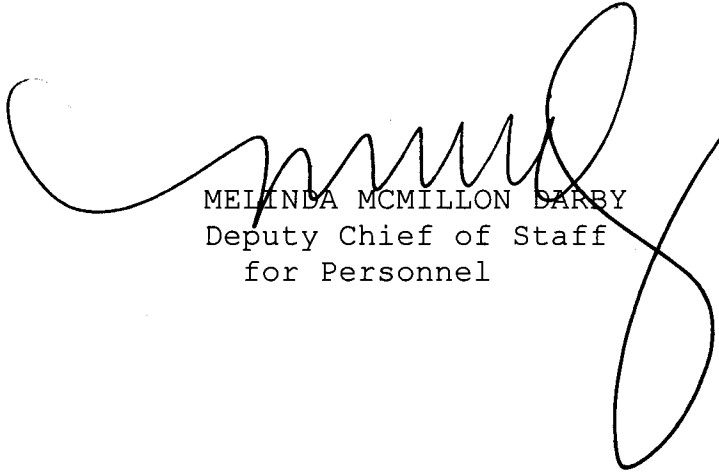
with the revisions in Change 1. Where there is conflict between the provisions of the TAPES Pamphlet and the revised TAPES regulation, the regulation and further guidance from HQDA will prevail. Consequently, all questions concerning Change 1 and the implementing guidance should be directed to HQDA through command channels.

5. The point of contact for this action is Teresa Greene, DSN 767-3408 or (703) 617-3408.

6. AMC -- America's Arsenal for the Brave.

FOR THE COMMANDER:

Encl



MELINDA MCMILLON DARBY  
Deputy Chief of Staff  
for Personnel

DISTRIBUTION:

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REPLY TO  
ATTENTION OF

DEPARTMENT OF THE ARMY  
OFFICE OF THE ASSISTANT SECRETARY  
MANPOWER AND RESERVE AFFAIRS  
111 ARMY PENTAGON  
WASHINGTON DC 20310-0111

January 20, 1999

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Change 1, Army Regulation 690-400, Chapter 4302, Total  
Army Performance Evaluation System (TAPES)

I am enclosing a copy of the recently-published change to our civilian performance appraisal system. The regulation was effective November 16, 1998, and is presently being distributed through publication channels. It is available in the library section of the Army civilian personnel home page (<http://www.cpol.army.mil>).

The changes contained in the regulation reflect the consensus of comments I received when I queried your commands concerning modifications that you felt were needed to the TAPES system. In addition to these modifications, this fiscal year I am instituting a complete performance management system review to establish our future direction and requirements.

An additional enclosure to this memo is guidance on the implementation of the regulation. The guidance is directed toward your Management Employee Relations policy representative(s) and your Civilian Personnel Advisory Centers. Although we do not object to wider distribution, the guidance may be more detailed than managers normally welcome. We would like to direct your attention to paragraph 1-1d of Change 1 to the AR, which specifies that requests for clarification of policy or procedural questions be directed through the chain of command personnel channels. You are reminded that your activities need to fulfill their labor relations obligations prior to implementation for bargaining unit members.

*Elizabeth B. Throckmorton for*

David L. Snyder  
Acting Deputy Assistant Secretary  
(Civilian Personnel Policy)

Enclosures

ENCLOSURE

DISTRIBUTION:

OFFICE, SECRETARY OF THE ARMY, ATTN: JDPES-W

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INTELLIGENCE PERSONNEL MANAGEMENT OFFICE

**HQDA Implementation Guidance**  
**C1, AR 690-400, Chapter 4302**

Change 1 to AR 690-400, Chapter 4302, dated 16 October 1998, was effective 16 November 1998. This guidance contains the implementation schedule and highlights of the changes to the basic regulation. Activities are reminded to complete their statutory labor relations obligations prior to implementing those changes which affect bargaining unit employees' conditions of employment. Guidance on comparable changes to Army's Senior Executive Service performance management program will be under separate correspondence.

a. **Implementation Schedule:** Our goal is to be able to use the new formulas for most ratings of record in 1999, phasing in implementation as discussed in this paragraph. Of course, implementation for bargaining unit employees cannot begin until all labor relations obligations have been met. Our overall guidance on the initial conversion is that supervisors with employees with more than 120 days remaining in the rating period should notify the employees as soon as possible that the new formulas will be used to calculate their next rating of record. In addition to a general employee information notice, we recommend that raters document the notification, preferably on the employee's support form/counseling checklist. Supervisors will use the old formula to rate employees with less than 120 days remaining in the rating period. Supervisors will notify employees as they begin a new rating period that the new formulas will apply to their next ratings of record. The rating formula used for an employee who was converted to the new rating formula and who subsequently will receive an early annual rating (because of a promotion or some other change) will depend on the number of days under the new formula at the time of the early annual rating.

Raters are reminded that senior system objectives can be changed at the midpoint discussion, or at any other point in the rating period, providing that substantive changes are made only (1) when 120 days or more remain in the rating period or (2) when the rating period is extended to provide a minimum of 120 days. Objectives should change if they are too onerous for whatever reason, if significant changes are made in assignments, or if there are other similar situations.

The Army Publishing Agency (APA) has already prepared and stocked the new support form/counseling checklist (August 1998 version), and they are available on the APA's home page ([www.usapa.army.mil/](http://www.usapa.army.mil/) or [www.usapa.army.mil/forms/](http://www.usapa.army.mil/forms/)). Both the Senior System and the Base System report forms will be available within the next 120 days and will show August 1998 as the date of the forms. The new version (August

1998) of the Senior System report form, when it comes on-line, will have the new rating formula for SL1 and SL2 as discussed in Change 1. The Base System report form does not contain the formula for developing the rating, and so it can be used immediately. The use of the new senior system report form will be contingent on meeting the implementation schedule requirements outlined in this memorandum.

If local implementation is going to require a significant number of ratings using the May 1993 edition of the DA 7222, your Civilian Personnel Advisory Centers may need to work with the local computer applications organization to assure that any downloads of forms are not updated too early. Alternatively, forms orders should provide for sufficient copies of the May 1993 edition, since it will be replaced early in 1999.

b. **Changes in Summary Rating Formulas:** (Paragraph 1-5):  
Change 1 to the AR revises the rating formulas used to derive the various summary rating levels. The new formula is that an employee must have Excellence in 75% or more of the objectives/responsibilities and Success on the remaining ones in order to receive a SL1 rating. The new formula for SL2 is excellence in 25% to 74% of the objectives/responsibilities. The formulas for the remaining rating levels did not change. The following discussion of the revised formulas contains more details:

#### **BASE SYSTEM**

SL1 – (With No Supervisory Duties)  
Rated Excellence in at least 3 of the 4 responsibilities and Success on remainder.

(With Supervisory Duties)  
Rated Excellence in 4 or more of the 6 responsibilities—at least one of which must be either Supervision/Leadership or EEO/AA—and Success on remainder.

SL2 – (With No Supervisory Duties)  
Rated Excellence in either 2 or 1 of the responsibilities and Success on remainder.

(With Supervisory Duties)  
Rated Excellence in either two or three of the responsibilities – one must be either Supervision/Leadership or EEO/AA – and Success in the remainder.

## SENIOR SYSTEM

SL1 – Rated Excellence in 75% or more of rated objectives and Success in remainder. Note: Ratee with Supervisory duties must be rated Excellence in either Organizational Management/Leadership or EEO/AA.

SL2 – Rated Excellence in 25-74% of rated objectives and Success in remainder. Note: Ratee with Supervisory duties must be rated Excellence in either Organizational Management/Leadership or EEO/AA.

c. **Off-Cycle Ratings for Acceptable Level of Competence (ALOC) Determinations** (Paragraph 2-3): We clarified the language in the regulation regarding "special" ratings that are given to grant or deny a within-grade increase (WIGI). The revision makes it clear that when a supervisor needs to give an off-cycle rating to support granting or denying a WIGI because the most recent rating of record does not reflect the level of work being performed at the time, that rating is a "Rating of Record." This clarification is necessary because 5 CFR 531.409(b) requires that an acceptable level of competence determination and the granting of a WIGI be based on a current "rating of record."

For example, an employee's last rating of record was Fair. Six months into the rating cycle, the employee has completed the waiting period for a WIGI but would not receive it because of the Fair rating. If the supervisor feels that the employee has brought his/her performance up to Successful Level (SL) 3 or better, the supervisor can give an off-cycle rating in order to grant the employee the WIGI. The new, off-cycle rating is a rating of record, and the Civilian Personnel Advisory Center and the Civilian Personnel Operations Center will process it as such. As a rating of record, the rating will count for RIF retention purposes and can form the basis for a performance award.

d. **Army Leadership Values** (Glossary-2): The Army has recently revised its identified Core Values, and we are reflecting those Values in the definition section of the revised regulation and on the new report forms, when released. The Army Values are Loyalty, Duty, Respect, Selfless Service, Honor, Integrity, and Personal Courage (LDRSHIP). After appropriate consultations with unions, ratings completed after November 16, 1998, should refer to these values in lieu of those listed on the May 1993 report forms. Bullet comments are to reflect these values. If the August 1998 versions of the report forms are not used, raters may, if

desired, alter the values listed on the form by using pen and ink. The following is a comparison of the values listed on the May 1993 versions (left column below) of the report forms and the ones to be listed on the August 1998 version (right column below) of the report forms when they are released. There is no longer a distinction between Army Ethics and Personal values.

Army Ethic:	Loyalty	Loyalty
	Duty	Duty
		Respect
	Selfless Service	Selfless Service
		Honor
	Integrity	Integrity
Personal:	Commitment	
	Competence	
	Candor	
	Courage	Personal Courage

**e. Review of Performance Plans and Appraisals** (Paragraph 1-5c and Glossary-2): In 1995 the Office of Personnel Management made some significant changes to the performance management section (Part 430) of Title 5, Code of Federal Regulations (CFR). Among those changes was eliminating the requirement to have higher level review of all performance plans and appraisals. The current CFR now requires higher level review only of unacceptable ratings [See 5 CFR Part 430.208(e)]. The change to the AR eliminates the Army-wide requirement for a Senior Rater for every rating. Major Commands and/or Field Operating Activities may, at their discretion, continue to require use of a senior rater on all ratings within their organizations or on certain categories of ratings. Local activities cannot make changes on this requirement until they receive guidance from their higher headquarters and have fulfilled their labor relations obligations.

A policy on the use of a Senior Rater may be different for appraisal systems (base versus senior), grade levels, supervisors versus non-supervisors, occupations and rating levels, (e.g., Senior Rater review of all Successful Level 1 ratings), or some other basis. This gives a great deal of flexibility on fashioning a policy, but the policy should not allow discretion on an employee-by-employee, rating-by-rating, or other ad-hoc basis.

In accordance with the CFR and regulation, Senior Raters must review and approve ratings of Unsuccessful. This is not optional or discretionary. Whenever a Rater issues a summary rating of Unsuccessful, a Senior Rater must review and approve that rating.



In order to continue implementation of the above requirement, all support forms/counseling checklists must identify a complete rating chain, to include a senior rater. We are not saying that the identification of a senior rater on the support form/counseling checklist implies a requirement that the senior rater approve in advance the support form/counseling checklist. It only means that all parties will know at the end of the rating period who must review and approve the report form, once it is final, if there is an Unsuccessful rating. Advance identification of a senior rater in the chain is simply an easy way to clarify from the outset who has final approval authority once an Unsuccessful rating is signed by the rater.

f. **Senior Rater Profile:** Change 1 to the regulation eliminates the use of the senior rater profile. The reason for this change was that TAPES computed ratee appraisals in the senior rater profile differently from the method used in the Officer Efficiency Report (OER) profile. This raised a question regarding the utility of the senior rater profile as used with civilians. Also, we received concerns over privacy considerations and delinquencies. As a result, we decided to eliminate the profile from the forms and the regulation. The senior rater profile section of the senior system report form need not be completed for any rating of record issued after November 16, 1998. The new version of the senior system report form does not include the senior rater profile section.

g. **Other Conforming Changes:** The other changes will generally have little impact on employee ratings. These changes bring the regulation into conformance with changed requirements in Government-wide law or regulation. Among the more significant changes are those discussed below.

**DoD System and Army Program:** With this change the Army performance appraisal system contained in the regulation now becomes a "Program" under the DoD "System." The DoD system is in DoD Civilian Personnel Manual (CPM) 1400.25-M, Chapter 430, Appendix A. The letter from OPM approving the DoD system is at Appendix B of the CPM. As a general rule, that letter should be entered into the record before a third party when adjudicating an adverse action taken under Chapter 43 procedures, except when the action was initiated under the May 22, 1993 version of AR 690-400 Chapter 4302. Because of the savings clause in the Summary section of C1, paragraph 2, the appropriate approval document for those cases will be Appendix C of the basic regulation. Since the TAPES regulation with C1 conform to the DoD system, OPM approval of our program is not required.

**Reference to PMRS:** When the basic TAPES regulation was issued, the Performance Management and Recognition System (PMRS)

was in existence. That "pay for performance" appraisal and compensation system was terminated effective 1 November 1993. In Change 1, we have eliminated all sections of the TAPES regulation that reference or pertain to PMRS.

Clarification of Requirements in Other Regulations: In the first paragraph of the regulation, Change 1 clarifies some of the relationships with other programs (WIGIs, performance awards/QSIs, performance-based adverse actions, etc.) and identifies which have separate program requirements.

h. TAPES Pamphlet: Several people have asked whether the TAPES pamphlet will be revised. We have decided not to prepare a revision, as we are undertaking a complete review of the performance appraisal process. A revision of the TAPES pamphlet would be an unnecessary effort until we know the future direction we will take. Currently, our position is that where there is a conflict between the provisions of the TAPES pamphlet and the TAPES regulation, as revised, the regulation and further guidance from this office will prevail.